IAPD Report

HECTOR FRANK SIQUEIROS

CRD# 2743196

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

HECTOR FRANK SIQUEIROS (CRD# 2743196)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/15/2025
IA	LPL FINANCIAL LLC	CRD# 6413	05/15/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CUSO FINANCIAL SERVICES, L.P.	42132	FREMONT, CA	01/23/2018 - 05/15/2025
B	CUSO FINANCIAL SERVICES, L.P.	42132	FREMONT, CA	01/11/2018 - 05/15/2025
B	SORRENTO PACIFIC FINANCIAL, LLC	127787	BENICIA, CA	11/24/2014 - 12/26/2017

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/15/2025
B	FINRA	General Securities Representative	Approved	05/15/2025
B	Alabama	Agent	Approved	05/15/2025
B	Alaska	Agent	Approved	05/15/2025
B	California	Agent	Approved	05/15/2025
IA	California	Investment Adviser Representative	Approved	05/15/2025
B	Florida	Agent	Approved	05/16/2025
B	Michigan	Agent	Approved	01/28/2026
B	Montana	Agent	Approved	05/15/2025
B	Nevada	Agent	Approved	05/15/2025
B	New Hampshire	Agent	Approved	09/02/2025
B	New Mexico	Agent	Approved	05/15/2025
B	North Carolina	Agent	Approved	05/15/2025

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	06/09/2025
B	Oregon	Agent	Approved	05/15/2025
B	Texas	Agent	Approved	05/15/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	05/23/2025

Branch Office Locations

LPL FINANCIAL LLC
24703 AMADOR STREET
HAYWARD, CA 94545

LPL FINANCIAL LLC
1200 CLAY STREET, SUITE 130
OAKLAND, CA 94612

LPL FINANCIAL LLC
360 22ND STREET
OAKLAND, CA 94612

LPL FINANCIAL LLC
5166 MOWRY AVENUE
FREMONT, CA 94538

LPL FINANCIAL LLC
2245 LAS POSITAS ROAD
LIVERMORE, CA 94551

LPL FINANCIAL LLC
3 PARK PLACE
DUBLIN, CA 94568

LPL FINANCIAL LLC
5601 LONE TREE WAY, SUITE 100
BRENTWOOD, CA 94513

LPL FINANCIAL LLC
4055 EAST CASTRO VALLEY BLVD
CASTRO VALLEY, CA 94552

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	10/14/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/10/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/19/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	01/23/2018 - 05/15/2025	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	FREMONT, CA
B	01/11/2018 - 05/15/2025	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	FREMONT, CA
B	11/24/2014 - 12/26/2017	SORRENTO PACIFIC FINANCIAL, LLC	CRD# 127787	BENICIA, CA
IA	11/24/2014 - 12/26/2017	SORRENTO PACIFIC FINANCIAL, LLC	CRD# 127787	BENICIA, CA
IA	02/14/2014 - 04/03/2014	LPL FINANCIAL LLC	CRD# 6413	MILPITAS, CA
IA	03/16/2006 - 02/18/2014	WESCOM FINANCIAL SERVICES, LLC	CRD# 125650	SANTA CLARA, CA
B	08/05/2005 - 02/18/2014	WESCOM FINANCIAL SERVICES	CRD# 125650	SANTA CLARA, CA
B	10/10/2005 - 11/08/2005	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	01/06/2003 - 10/12/2004	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
IA	05/15/2001 - 10/31/2002	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	PALO ALTO, CA
B	05/02/2001 - 10/31/2002	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
B	04/09/1998 - 05/02/2001	WELLS FARGO SECURITIES INC.	CRD# 17438	SAN FRANCISCO, CA
B	09/11/1996 - 03/26/1998	WATERHOUSE SECURITIES, INC.	CRD# 7870	OMAHA, NE

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2025 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	LIVERMORE, CA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2017 - Present	PATELCO CREDIT UNION	REGISTERED REPRESENTATIVE	Y	SAN LEONARDO, CA, United States
01/2018 - 05/2025	CUSO FINANCIAL SERVICES, LP	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
11/2014 - 12/2017	SORRENTO PACIFIC FINANCIAL	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. 4/23/2025: Patelco Financial Solutions; At reported business location(s); DBA for LPL Business (entity for LPL business); Inv. related; start date 4/23/2025; 160hrs/mo. during trading.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
    - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	DEPT OF INSURANCE-STATE OF CALIFORNIA
Sanction(s) Sought:	Denial
Date Initiated:	04/12/2004
Docket/Case Number:	FILE# LBB 1884-AP (AR)
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	Other: NA
Allegations:	RESPONDENT FAILED TO DISCLOSE OR OMITTED BACKGROUND INFORMATION ON INSURANCE APPLICATION.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/12/2004
Sanctions Ordered:	Denial Other: NA

Broker Statement	MR. HECTOR SIQUEIROS WAS INITIALLY DENIED AN UNRESTRICTED CA INSURANCE LICENSE IN 2004. SUBSEQUENT APPLICATION IN 2008 FOR A RESTRICTED CA LIFE AGENT LICENSE WAS ACCEPTED AND ISSUED. IN 2014 THE CA DEPT OF INSURANCE ISSUED ORDER REMOVING ALL RESTRICTIONS TO MR. SIQUEIROS CA INSURANCE LICENSE. MR. SIQUEIROS CA INSURANCE LICENSE REMAINS UNRESTRICTED AND IN GOOD STANDING.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WESCOM FINANCIAL SERVICES
Allegations:	CUSTOMER ALLEGED A SALES PRACTICE VIOLATION STATING SHE DID NOT UNDERSTAND THE INVESTMENT AT THE POINT OF SALE. THE CUSTOMER ALSO QUESTIONED THE RESTRICTED CA INSURANCE LICENSE HELD BY MR. SIQUEIROS. THE CUSTOMER IS REQUESTING A RETURN OF HER PREMIUM WITHOUT INCURRING A SURRENDER PENALTY ASSOCIATED WITH THE TERMINATION OF THE VARIABLE ANNUITY CONTRACT. THE FIRM REVIEWED THE COMPLAINT AND DETERMINED THAT THE TRANSACTION WAS SUITABLE AND THERE WAS NO WRONG DOING BY THE FINANCIAL ADVISER. THE RESTRICTED CA INSURANCE LICENSE ALLOWED MR. SIQUEIROS TO SELL VARIABLE ANNUITIES AND ALL FINRA LICENSES WERE ACTIVE AND IN GOOD STANDING. THE FIRM SENT A LETTER TO THE CLIENT RESPONDING TO THE COMPLAINT AND ENCLOSED THE NEW ACCOUNT PAPERWORK AND DISCLOSURE DOCUMENTS THAT HAD BEEN SIGNED BY THE CLIENT AT THE POINT OF SALE.
Product Type:	Annuity-Variable
Alleged Damages:	$6,000.00
Alleged Damages Amount Explanation (if amount not exact):	THE CUSTOMER'S VARIABLE ANNUITY ACCOUNT HAS BEEN TRANSFERRED OUT OF WESCOM FINANCIAL SERVICES AND TO A NEW BROKER-DEALER. WE KNOW THAT THE INITIAL INVESTMENT WAS $100,000.00 AND THAT THE SURRENDER CHARGE WOULD BE 6%.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/01/2014
Complaint Pending?	No
Status:	Denied
Status Date:	10/06/2014
Settlement Amount:	$0.00
Individual Contribution Amount:	

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	WESCOM FINANCIAL SERVICES
Allegations:	CUSTOMER ALLEGED A SALES PRACTICE VIOLATION STATING SHE DID NOT UNDERSTAND THE INVESTMENT AT THE POINT OF SALE. THE CUSTOMER ALSO QUESTIONED THE RESTRICTED CA INSURANCE LICENSE HELD BY MR. SIQUEIROS. THE CUSTOMER IS REQUESTING A RETURN OF HER PREMIUM WITHOUT INCURRING A SURRENDER PENALTY ASSOCIATED WITH THE TERMINATION OF THE VARIABLE ANNUITY CONTRACT. THE FIRM REVIEWED THE COMPLAINT AND DETERMINED THAT THE TRANSACTION WAS SUITABLE AND THERE WAS NO WRONG DOING BY THE FINANCIAL ADVISER. THE RESTRICTED CA INSURANCE LICENSE ALLOWED MR. SIQUEIROS TO SELL VARIABLE ANNUITIES AND ALL FINRA LICENSES WERE ACTIVE AND IN GOOD STANDING. THE FIRM SENT A LETTER TO THE CLIENT RESPONDING TO THE COMPLAINT AND ENCLOSED THE NEW ACCOUNT PAPERWORK AND DISCLOSURE DOCUMENTS THAT HAD BEEN SIGNED BY THE CLIENT AT THE POINT OF SALE.
Product Type:	Annuity-Variable
Alleged Damages:	$6,000.00
Alleged Damages Amount Explanation (if amount not exact):	THE CUSTOMER'S VARIABLE ANNUITY ACCOUNT HAS BEEN TRANSFERRED OUT OF WESCOM FINANCIAL SERVICES AND TO A NEW BROKER-DEALER. WE KNOW THAT THE INITIAL INVESTMENTS WAS $100,000.00 AND THAT THE SURRENDER CHARGE WOULD BE 6%.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/01/2014
Complaint Pending?	No
Status:	Denied
Status Date:	10/06/2014
Settlement Amount:	$0.00
Individual Contribution Amount:	

End of Report

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